

Applicant or Patentee:  
Serial/Patent No.:  
Filed/Issued  
For:

Jay S. Walker et al.

Docket No. W-7-557

09/045,386

March 20, 1998

Method and Apparatus for Controlling the Performance of a Supplemental Process at a Point-of-Sale Terminal



**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am

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☐

the owner of the small business concern identified below:

an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: Walker Asset Management Limited Partnership

ADDRESS OF CONCERN: Four High Ridge Park, Stamford, CT 06905-1325

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13CFR 121.3-18, and reproduced in 37 CFR 1.9 (d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled by inventor(s) described in

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☐

the specification filed herewith

application serial no.

09/045,386

filed

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patent no.

issued

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9 (d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9 (d) or a nonprofit organization under 37 CFR 1.9 (e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME

ADDRESS

☐ Individual

☐ Small Business Concern

☐ Nonprofit Organization

NAME

ADDRESS

☐ Individual

☐ Small Business Concern

☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28 (b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING

TITLE OF PERSON OTHER THAN OWNER

ADDRESS OF PERSON SIGNING

Jay S. Walker

President of Walker Digital Corp., as General Partner of Walker Asset Management Limited Partnership

Four High Ridge Park, Stamford, CT 06905

SIGNATURE

DATE 5/28, 1998

**COMBINED DECLARATION AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship is as stated below next to my name(s),

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**METHOD AND APPARATUS FOR CONTROLLING THE PERFORMANCE OF A SUPPLEMENTAL PROCESS AT A POINT-OF-SALE TERMINAL**

the specification of which (*check one*)

- ☒ is attached hereto; or  
 was filed on March 20, 1998 as application serial no. 09/045,386 and was amended on \_\_\_\_\_  
 (if applicable); or  
☐ was described and claimed in international application no. \_\_\_\_\_ filed on \_\_\_\_\_ and as amended on \_\_\_\_\_  
 (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above, and that it contains a full, clear, concise and exact description of the subject matter for which a patent is sought.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

**Prior Application(s)**

☐ (Check if applicable) I hereby claim foreign priority benefits under Title 35, United States Code § 119, by checking the box(es) below, any foreign application(s) for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

**Prior Foreign Application(s)**

		Priority Claimed? <input type="checkbox"/> yes <input type="checkbox"/> no
_____ (Number)	_____ (Country)	_____ (Day/month/year filed)
_____ (Number)	_____ (Country)	_____ (Day/month/year filed)
		<input type="checkbox"/> yes <input type="checkbox"/> no

☒ (Check if applicable) I hereby claim the benefit under Title 35, United States Code § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose material information as defined in the Title 37, Code of Federal Regulations § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of the application:

**Prior U.S. Application(s)**

08/920,116 (Application Number)	26 August 1997 (Day/month/year filed)	Pending (Status – Issued, pending, abandoned)
08/822,709 (Application Number)	21 March 1997 (Day/month/year filed)	Pending (Status – Issued, pending, abandoned)
08/841,791 (Application Number)	5 May 1997 (Day/month/year filed)	Pending (Status – Issued, pending, abandoned)

☒ (Check if applicable) In this continuation-in-part application, insofar as the subject matter of any of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose material information as defined in the Title 37, Code of Federal Regulations § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of the application.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge and the like so made are punishable by fine or imprisonment, or both under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint Jeffrey L. Brandt - Reg. No. 31,490, Robert R. Lech - Reg. No. 37,169 and Dean Alderucci - Reg. No. 40,484 as my attorneys and Charles A. Rattner - Reg. No. 40,136 as agent of record, all of Walker Digital Corporation, whose address is Five High Ridge Park, Stamford, Connecticut 06905-1326 with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Please address all written correspondence to:

Walker Digital Corporation  
Five High Ridge Park  
Stamford, Connecticut 06905-1326  
Phone (203) 595-2865  
Fax (203) 595-8266

Wherefore I pray that Letters Patent be granted to me for the invention or discovery described and claimed in the foregoing specification and claims, and I hereby subscribe my name to the foregoing specification and claims, declaration, power of attorney, and this petition.

**Full name of sole or first inventor:** Jay S. WALKER

Residence: 124 Spectacle Lane, Ridgefield, CT 06877

Post Office Address: same as above

Citizenship: U.S.A.

Inventor's signature 

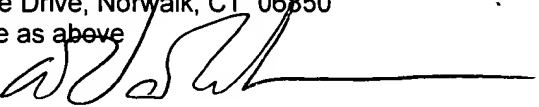
Date 5/19, 1998

**Full name of second inventor:** Andrew S. VAN LUCHENE

Residence: 13-2a Clarmore Drive, Norwalk, CT 06850

Post Office Address: same as above

Citizenship: U.S.A.

Inventor's signature 

Date 5/27, 1998

**Full name of third inventor:** Dean ALDERUCCI

Residence: 19-8 Prospect Ridge Road, Ridgefield, CT 06877

Post Office Address: same as above

Citizenship: U.S.A.

Inventor's signature 

Date 5/27, 1998